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MERIDETH C. ARNOLD

\* Admitted in NY only  
\*\* Passed the Patent Bar Examination  
\*\*\* Admitted in TX only

November 21, 2001

Office of Petitions  
Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
MAR 21 2002  
OFFICE OF PETITIONS

Re: Patent Application Serial No. 09/808,911  
Entitled: ACCESS CONTROL PROTOCOL  
FOR USER PROFILE MANAGEMENT  
Filed: March 14, 2001  
Inventors: Eric V. Siegel, et al.  
Attorney Docket No. KAQ-002

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Petition Pursuant To 37 CFR §1.47(a);
2. Statement of Pertinent Facts in Support of Petition Under 37 C.F.R. § 1.47(a) (including Exhibits A-D);
3. Response to Notice To File Missing Parts of Application (in duplicate);
4. Executed Declaration, Petition and Power of Attorney;
5. Request for Five-Month Extension of Time (in duplicate);
6. Copy of Form Notice to File Missing Parts of NonProvisional Application;
7. Three Checks for \$65.00 (surcharge fee), \$980.00 (extension fee), and \$130.00 (petition fee); and
8. A return mailroom postcard.

Please charge any necessary fees to our Deposit Account No. 12-0080. The undersigned requests any extensions of time necessary to respond. *A duplicate of this sheet is enclosed.*

**Certificate of First Class Mailing (37 CFR 1.8(a))**

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Office of Petitions, Commissioner for Patents, Washington, DC 20231.

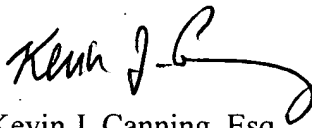
November 21, 2001

Date

Kevin J. Canning, Esq. Registration No. 35,470

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

  
Kevin J. Canning, Esq.  
Registration No. 35,470  
Attorney for Applicants



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Eric Victor Siegel, Eleazar Eskin, Alexander Day Chaffee and Zhi-Da Zhong

Serial No.: 09/808,911

Filed: March 14, 2001

For: ACCESS CONTROL PROTOCOL FOR USER PROFILE MANAGEMENT

Attorney Docket No.: KAQ-002

Group Art Unit:

Examiner:

Office of Petitions  
Assistant Commissioner for Patents  
Washington, D.C. 20231

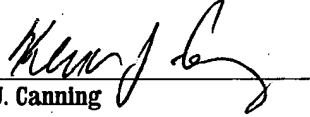
Certificate of First Class Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Office of Petitions, Washington, D.C. 20231 on the date set forth below.

November 21, 2001

Date of Signature and of Mail Deposit

By:

  
Kevin J. Canning  
Reg. No. 35,470  
Attorney for Applicants

RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NON-PROVISIONAL APPLICATION

Dear Sir:

Responsive to the Notice to File Missing Parts of Nonprovisional Application Filed Under 37 CFR 1.53(b) Filing Date Granted mailed April 23, 2001, Applicants' attorney is enclosing an executed Declaration, Petition and Power of Attorney for Patent Application together with a copy of the Notice to File Missing Parts of Nonprovisional Application Filed Under 37 CFR 1.53(b) Filing Date Granted. Applicants' attorney is also enclosing a check in the amount of \$65.00 for the declaration surcharge as set forth

in 37 CFR 1.16(e) based on non-small entity status, a Request for Five-Month Extension of Time, and a check in the amount of \$980.00 for extension fee.

Please charge any underpayments or credit any overpayments associated with this communication to our Deposit Account No. 12-0080. A duplicate of this letter is enclosed.

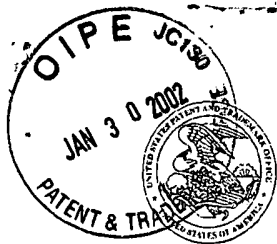
Respectfully submitted,

A handwritten signature in black ink, appearing to read "Kevin J. Canning", is written over a horizontal line.

Kevin J. Canning, Esq.  
Registration No. 35,470  
Attorney for Applicants

LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
Tel. (617) 227-7400

Dated: November 21, 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/808,911	03/14/2001	Eric Victor Siegel	KAQ-002

000959  
LAHIVE & COCKFIELD  
28 STATE STREET  
BOSTON, MA 02109

CONFIRMATION NO. 4876

## FORMALITIES LETTER



\*OC000000005994162\*

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Date Mailed: 04/23/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/11/2002 NROCHA1 00000010 09808911

02 FC:130

130.00 OP

03/11/2002 NROCHA1 00000010 09808911

03 FC:205

65.00 OP

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VINCENT P. LOCCISANO  
MERIDETH C. ARNOLD

\* Admitted in NY only  
\*\* Passed the Patent Bar Examination

VIA FEDERAL EXPRESS

October 12, 2001

Eric V. Siegel  
560 Riverside Drive, #13E  
New York, New York, 10027

COPY OF PAPERS  
ORIGINALLY FILED

Re: Patent Application Serial No. 09/808,911  
Entitled: ACCESS CONTROL PROTOCOL  
FOR USER PROFILE MANAGEMENT  
Filed: March 14, 2001  
Inventors: Eric V. Siegel, et al.  
Our Reference No. KAQ-002

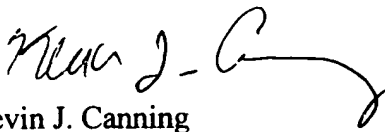
Dear Eric:

For your convenience, we enclose another copy of the Declaration, Petition and Power of Attorney (DPOA) and the Assignment for review and signature (**in blue ink**) in connection with the above-identified patent application.

Please return the executed documents to us at your earliest convenience, so that we can file them with the U.S. Patent and Trademark Office before the deadline of **October 23, 2001**.

If you have any questions or comments, please do not hesitate to contact us.

Cordially,  
LAHIVE & COCKFIELD, LLP

  
Kevin J. Canning

KJC/rkm  
Enclosures  
cc: Harry Kargman (w/o enc.)

EXHIBIT B



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11/9/01 4:18 PM

From: Harry Kargman <harry@kargo.com>  
To: Kevin Canning (E-mail) <kjc@lahcoc.com>  
Date: 9/4/01 5:18PM  
Subject: RE: How are you

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Kevin-

Can you send the documents to Alex directly. I have the documents. I will call you about this.

HK

-----Original Message-----

From: Alex Chaffee [mailto:alex@stinky.com]  
Sent: Tuesday, September 04, 2001 3:48 PM  
To: Harry Kargman  
Subject: Re: How are you

Sure. I'm at

Purple Technology  
Attn: Alex Chaffee  
1836 15th St.  
San Francisco, CA 94103

Hope you're doing well...

Cheers -

- Alex

On Tue, Sep 04, 2001 at 12:09:34PM -0400, Harry Kargman wrote:

> Alex-

>

> How are you? We haven't spoken in quite a while. Can you send me your  
> updated contact information. I am supposed to send you documents from  
> Lahive and Cockfield our intellectual property attorneys. Thanks.

>

> Harry

-

Alex Chaffee                      <mailto:alex@jguru.com>  
jGuru - Java News and FAQs      <http://www.jguru.com/alex/>  
Creator of Gamelan              <http://www.gamelan.com/>  
Founder of Purple Technology      <http://www.purpletech.com/>  
Curator of Stinky Art Collective <http://www.stinky.com/>





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JACOB G. WEINTRAUB  
JONATHAN M. SPARKS, Ph.D.  
CRISTIN E. HOWLEY, Ph.D.  
\* Admitted in NY only  
\*\* Passed the Patent Bar Examination

**CONFIDENTIAL**  
**ATTORNEY/CLIENT PRIVILEGED**  
September 12, 2001

COPY OF PAPERS  
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Alexander Day Chaffee  
c/o Purple Technology  
1836 15th Street  
San Francisco, California, 94103

Re: Patent Application Serial No. 09/808,911  
Entitled: ACCESS CONTROL PROTOCOL  
FOR USER PROFILE MANAGEMENT  
Filed: March 14, 2001  
Inventors: Eric V. Siegel, et al.  
Our Reference No. KAQ-002

Dear Alex:

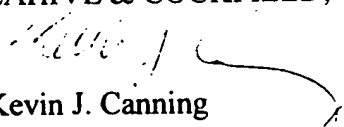
As you may be aware, we filed the above-identified patent application for Kargo, Inc. this past March. In order to complete the filing formalities, we need to have you, as an inventor, execute some documents.

We enclose a copy of the Patent, Declaration, Petition and Power of Attorney (DPOA) and an Assignment for your review and signature (**in blue ink**) in connection with the above-identified patent application. Please be sure to have your signature on the Assignment notarized.

Please return the executed documents to us at your earliest convenience, so that we can file them with the U.S. Patent and Trademark Office before the deadline of September 23, 2001.

If you have any questions or comments, please do not hesitate to call. Thank you.

Cordially,  
LAHIVE & COCKFIELD, LLP

  
Kevin J. Canning

KJC/rkm  
Enclosures  
cc: Harry Kargman (w/o enc.)

EXHIBIT D